Using the Data Validation Software to Enter Module 4 Results

Background

Since the beginning of the Data Validation (DV) program, Module 4 results for both Benefits and Tax have been submitted as Word, Excel, or .pdf documents attached to e-mails to the Office of Unemployment Insurance's dvrpts mailbox. Beginning with VY 2015, these results will be submitted using a new function added to the State Data Validation (DVWS) software released in July 2014. This brief guide explains how to use this new application. The next editions of the DV Benefits and Tax handbooks and the *DV Operations Guide* will include this information.

Overview

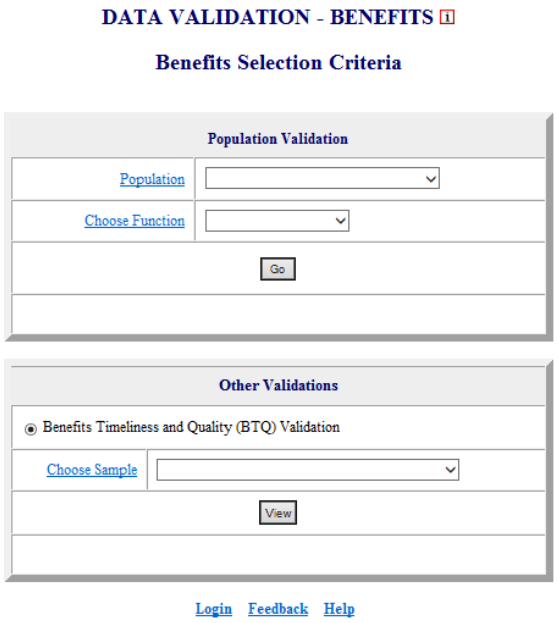
The new mode of entering and transmitting involves selecting a new function from the Benefits Selection Criteria or Tax Selection Criteria screen. This is found in the "Other Validations" section of the screen; Other Validations is a new function in Benefits. The new selection is called "Benefits Timeliness and Quality (BTQ) Validation" or "Tax Performance System (TPS) Validation." Selecting the function allows you to choose the BTQ or TPS sample being validated. Making that selection brings up a data entry screen with a segment for each of the components of the Module 4 validation: Universe from which the sample is selected; the Size of the sample; and the Randomness of the sample. The validator completes certain items, some of them from drop-down menus and others by data entry; the software completes the others either by doing the calculations or by retrieving benchmark counts (e.g., separation determination counts from the ETA 9052 report). When entry is complete the validator saves and if appropriate adds comments before submitting results.

Because the logic of validating quality samples is the same for both benefits and tax, the data entry and submission screens differ only in the default sample sizes (30 and 50 for nonmons; 20 and 40 for appeals; and 60 for TPS samples.) The front-end screens for Benefits and Tax differ in time periods selected. In Benefits, the user selects quarter and year because benefits samples are drawn from quarterly universes. In Tax, all TPS samples are annual. Because the Field Audit sample can be based on either a fiscal or calendar year universe, selecting the Field Audit sample brings up a dialogue box to indicate fiscal or calendar year. The three status determination samples are all drawn from calendar year universes.

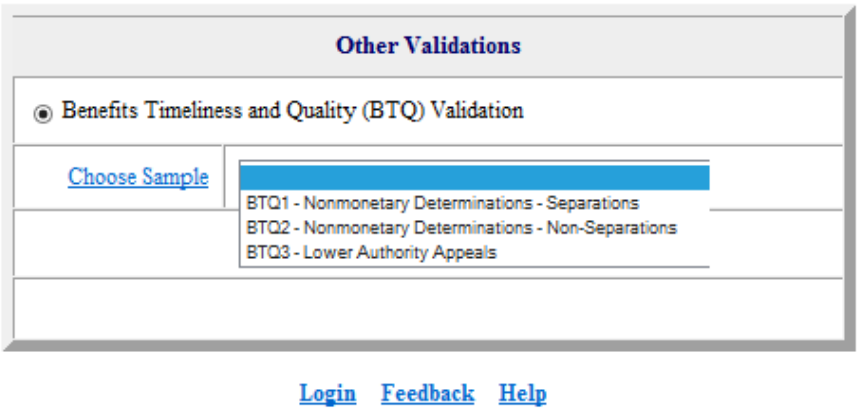
Although the basic validation process remains unchanged, when the submission migrated to the DVWS software the validation criteria were tightened in two key respects. (1) Previously, the instructions recommended, but did not require, that the reported count used as the benchmark for testing the accuracy of the quality sample universe have passed validation. This is now a requirement enforced by a menu item on the data entry screen. (2) A menu item asks whether all records in the sampling universe were in the report quarter. If the answer is no, the validation cannot pass.

Using the Quality Sample Validation Function: Benefits

1. Log on to DVWS *using Internet Explorer* (The data entry screen's functions seem to be browser-specific.) Use the radio button to Select BTQ Validation from the Benefits Selection Criteria menu page.



2. Click on the down-arrow in the Choose Sample box to display the options. Select BTQ1, or BTQ2, or BTQ3 as appropriate.



3. Selecting a sample and clicking on ***View*** brings up the data entry screen:

QUALITY SAMPLE VALIDATION
BTQ1 - Nonmonetary Determinations - Separations
Validation Worksheet

Report Quarter: First Quarter
Year: 2010

Validation Item	Validation	Result	Score
Universe	(a) Validated Population 5	Pass	
	(b) All records in universe are in period being validated	Yes	
	(c) Number of records in universe	59000	
	(d) ETA 9052 Counts	59159	
	(e) Difference	159	
	(f) % Difference	0.27	
Sample Size	(a) Expected Value	30	
	(b) Actual Value	30	
	(c) Difference:	0	
Randomness	(a) Random sampling method used	Balanced Systematic Selection	
	(a.1) Followed steps in Handbook 301	Yes	
	(a.2) Expected Interval Size	1967	
	(a.3) Actual Interval Size		
	(a.4) Difference		
	(a.5) Starting point is correct	Yes	
	(b) Right cases were randomly selected	Yes	
		Overall Validation Score:	

4. Using the Quality Sample Validation entry Screen:

    a. **Report Quarter:**
        i. Select from the drop-down menu

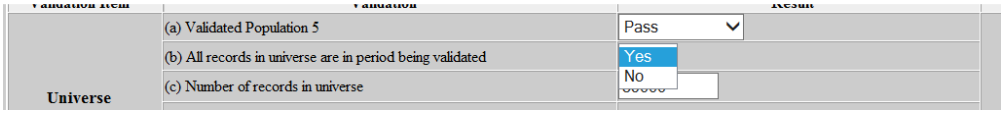
    b. **Year:**
        i. Enter in box provided
        ii. Year and quarter allow the software to select the correct benchmark counts from the appropriate ETA report (9052 for seps and nonseps; 9054 for appeals)
            1. Selecting Report Quarter first brings up a nag screen reminding you that "Year cannot be null;" entering Year first brings up a reminder to "select valid values for both quarter and year."

    c. **Completing validation of *Universe* from which sample was selected**
        i. (a) *Indicate whether the population which validates the universe count has passed validation.*
            a. Select the appropriate answer from the drop-down menu:
                i. (b) *Validated Population 5 (or 8)?*
                    1. Select Pass, Fail, or Not Validated from drop-down menu.

Validation Item	Validation	Result	Score
Universe	(a) Validated Population 5	Pass	
	(b) All records are in reporting number	Fail Not Validated	
	(c) Number of records in universe		

NOTE: *If "Fail" or "Not validated" is selected, the validation will **fail** because the reported count used as the benchmark for the entered universe cannot be trusted as valid.*

ii. (b) *Were all records in the universe in the reporting quarter*?
    1. Select Yes or No from the drop-down menu.
        a. **NOTE**: *If "No" is selected, the validation will **fail** because universe records outside the reporting quarter produces an automatic discrepancy between the reported count used as the benchmark and the entered universe.*



iii. (c) *Number of records in the Universe*:
    1. Enter in the box provided
iv. (d) *ETA 905X count*:
    1. Software retrieves what has been reported on the ETA 9052 or ETA 9054 for year and quarter entered as soon as period is entered.
v. (e) *Difference*:
    1. Software computes
vi. (f) *% Difference*:
    1. Software computes
        *a. If % difference >2%, validation **Fails**.*

d. ***Completing validation of sample Size***

i. *(a) Expected Value*:
    1. Select from drop-down menu
    2.

        a. Options are 30, or 50, or Other.
        b. Select 30 or 50 based on state nonmon or appeals workload.
        c. The Other option allows for validation of quarterly samples that contain extra cases to make up for cases eliminated in the previous quarter's sample because case materials could not be found.
            i. Selecting Other brings up a box to enter the expected value.

ii. *(b) Actual Value*:
    1. select from drop-down menu

        a. Options work the same as for Expected value.

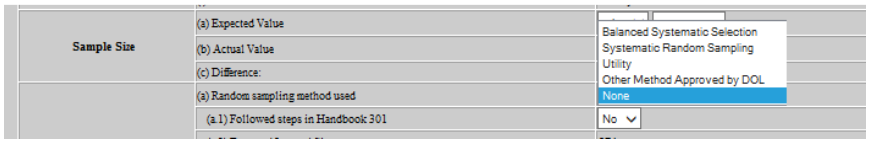
iii. *(c) Difference*:

1. Click on the space for (c), Difference, and Software computes the value.
    a. ***NOTE: if you do not click on this space, the software will not only not compute a value for difference but also will not compute the value for (a.2), Expected Interval Size, in Randomness below.***
    b. *If Difference >0, validation* ***Fails****.*

e. **Completing validation of Randomness**

i. *Random Sampling Method used*:

1. Select from drop-down menu

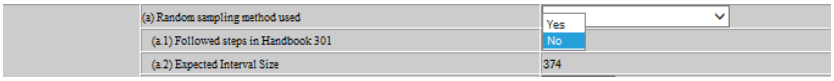


ii. *If "None" is selected from this menu the validation will* ***Fail****.*

iii. *If "Balanced Systematic Sampling" or "Systematic Random Sampling" is selected, then a value must be entered for (a.3), Actual Interval size.*

f. (a.1) *Followed steps in Handbook 301*:

1. Select **Yes** or **No** from Drop-down menu



If ***No*** *is selected, validation will* ***Fail****.*

g. (a.2) *Expected Interval Size*:

i. Software calculates as $\frac{\text{Number Records in Universe}}{\text{Actual Sample Size}}$

h. (a.3) *Actual Interval Size*:

1. Enter in box if "Balanced Systematic Sampling" or "Systematic Random Sampling" is selected

i. (a.3) *Difference*

i. Computer calculates.
    a. *If this is not zero, validation* ***Fails*** *unless Random sampling method is "Utility" or "Other method approved by DOL."*

j. (a.4) *Starting Point is Correct*.

i. Select **Yes** or **No** from Drop-down menu

1. If No is selected, validation ***Fails****.*

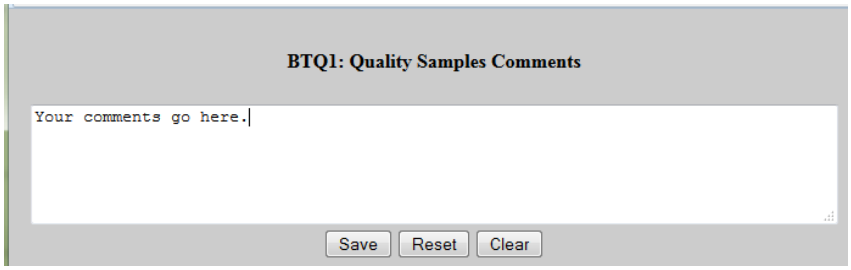
k. (b) *Right Cases were Selected Randomly*

i. Select **Yes** or **No** from Drop-down menu

1. If ***No*** *is selected, validation* ***Fails****.*

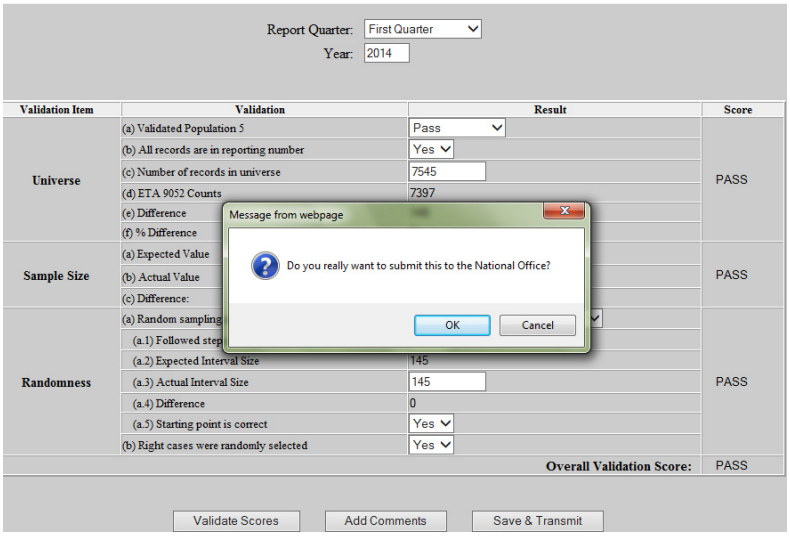
5. Validate, Save and Submit Results

   a. ***Validate Results.*** Clicking this button populates the four Score fields—Universe, Sample Size, Randomness and Total—based on the individual values entered in each of the first three categories.
      i. *This button must be clicked before results can be submitted.*
   b. ***Add Comments***. If desired, you may add comments by clicking on the *Add Comments* button. The comments field allows 512 characters.

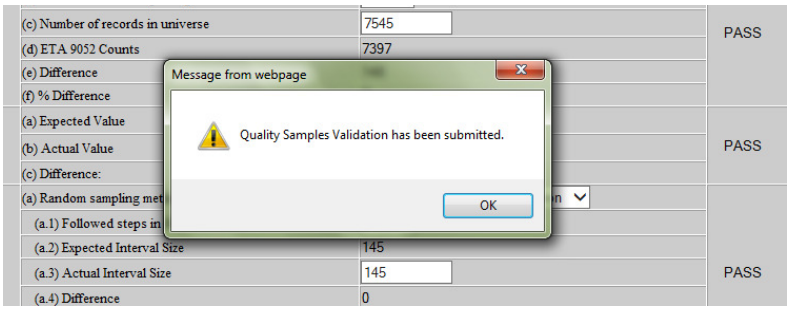


The *Clear* button clears the comments field; if the comments had been previously *Saved* and then cleared in error, the *Reset* button will restore them.

   c. ***Save & Transmit***.
      i. Clicking the *Save and Transmit* button brings up the following dialogue box



Selecting OK brings up the screen informing you of transmission.

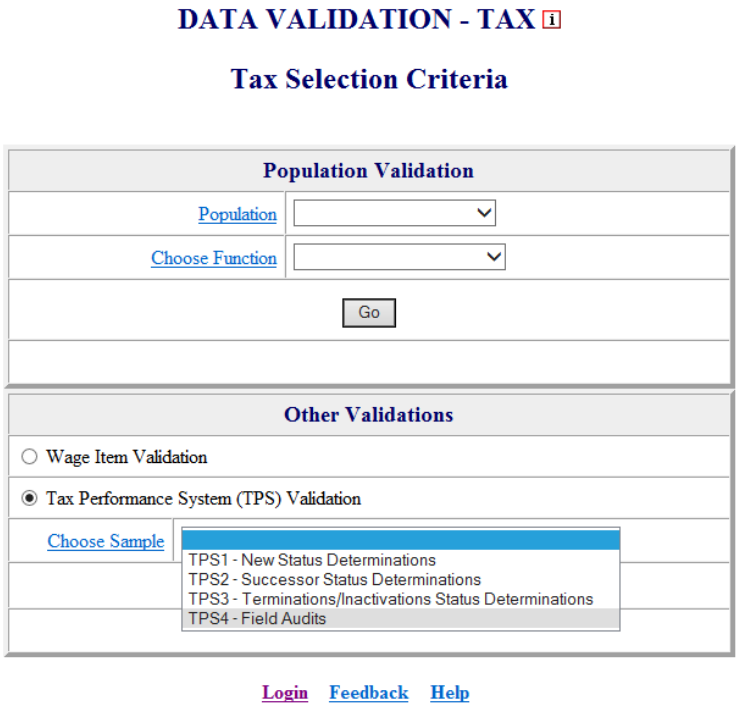


Selecting OK returns you to a data entry screen cleared of all values.

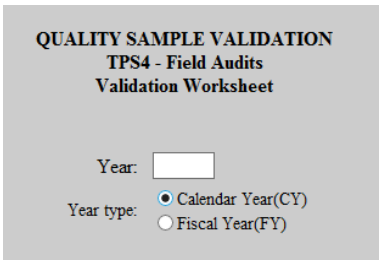
Using the Quality Sample Validation Function: Tax

The software functions the same for Tax as for Benefits. The important differences are as follows.

1. Upon logging in to Tax for DVWS, the function screen includes Wage Items as well as TPS Validation.

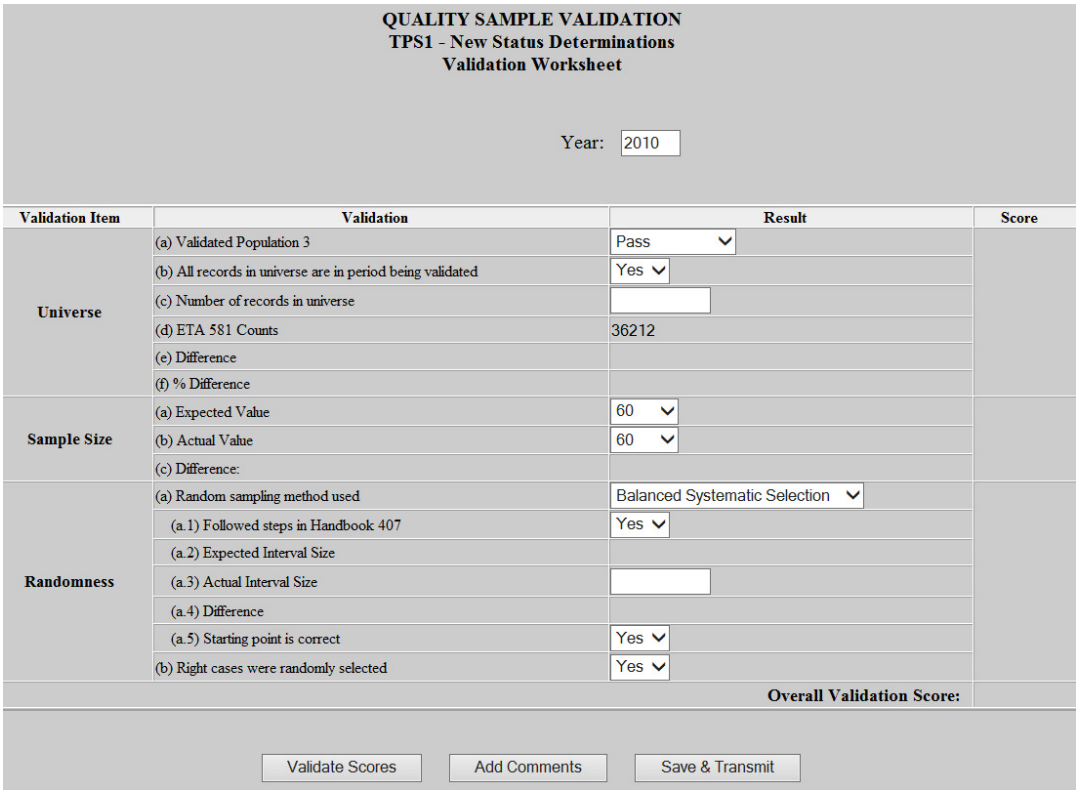


2. Selecting TPS1, TPS2, TPS3 or TPS4 will bring up an entry screen with a box for a Year at the top.
    a. This is for the year from which the TPS acceptance samples are drawn, and is the year completed within the validation year.
        i. So, if you are validating TPS for Validation Year 2015, enter "2014."
    b. As with Benefits, as soon as the year is selected the software populates (d), ETA 581 Count, with the reported count used to benchmark the TPS universe size.
    c. If validating TPS4, Field Audits, you must choose Calendar Year or Fiscal year, depending on the period for the Field Audit sample being validated.



3. The layout and logic of the data entry screen are the same as the Benefits screen. You should validate, save, and transmit results just as you did on the Benefits side.
    a. As with Benefits, remember that ***if you do not click on the space for (c) sample size difference, the software will not only not compute a value for difference but also will not compute the value for (a.2), Expected Interval Size, in Randomness below.***

4. **Note a few changes**:
    a. Item (a) will say Validated Population 3 (for Status samples) or 5 (for Field Audit)
    b. Because all acceptance samples are size 60, the default value for the sample size is 60
        i. There is an option for Other that brings up a data entry box.
    c. Item (a.1) says "Followed steps in Handbook 407" (the TPS Handbook)



QUALITY SAMPLE VALIDATION
TPS1 - New Status Determinations
Validation Worksheet

Year: 2010

Validation Item	Validation	Result	Score
Universe	(a) Validated Population 3	Pass	
	(b) All records in universe are in period being validated	Yes	
	(c) Number of records in universe		
	(d) ETA 581 Counts	36212	
	(e) Difference		
	(f) % Difference		
Sample Size	(a) Expected Value	60	
	(b) Actual Value	60	
	(c) Difference:		
Randomness	(a) Random sampling method used	Balanced Systematic Selection	
	(a.1) Followed steps in Handbook 407	Yes	
	(a.2) Expected Interval Size		
	(a.3) Actual Interval Size		
	(a.4) Difference		
	(a.5) Starting point is correct	Yes	
	(b) Right cases were randomly selected	Yes	
		Overall Validation Score:	

Validate Scores | Add Comments | Save & Transmit